

## **APPENDIX A**

### **MONITORING PROCESS EXPLANATION**

#### REVIEW (PROGRESS, FINAL, AND ANNUAL)

1. Examine QC requirement under review. (Follow instructions in appropriate chapter in ET Handbook No. 396, 3rd Edition.)
2. Use QC monitoring worksheets to document findings and provide necessary explanations or information.
3. If it appears requirement is not met, discuss with QC supervisor and others necessary to confirm the observation, or to gather other information prescribed by Handbook.
4. Draw conclusion about whether requirement is met, and attach documentation of facts supporting conclusion to appropriate QC monitoring worksheet(s).

#### REVIEW COMPLETION

1. Discuss conclusions of review with QC supervisor. (For the Annual QC Administrative Determination, discussion should be with the SESA Administrator.)
2. Annotate worksheet(s) if needed and place completed worksheets and documentation in SESA file maintained in the Regional Office. (See Chapter VII.)
3. Incorporate review findings in quarterly Regional QC reports to the National Office. (See Chapter VIII for details.)

#### QC CORRECTIVE ACTION

1. Reach agreement on steps for QC corrective action. (See Chapter VII.)
2. Decide on implementation schedule for SESA.
3. Plan and provide supportive technical assistance, if needed.
4. Develop Regional follow up, as needed.
5. Determine outcome by way of follow-up review.

#### DISPUTE RESOLUTION

1. Agree on elements of dispute, or agree to disagree.
2. Reach agreement on initial steps for resolution.
3. Establish time frames.
4. If possible, resolve dispute and proceed to either review completion or corrective action; or,  
  
If resolution is not possible through appropriate Regional efforts, elevate dispute to National Office. (Chapter VII)

#### ANNUAL QC ADMINISTRATIVE DETERMINATION

1. Complete summary worksheet for each QC requirement.
2. Determine adequacy of SESA overall performance in the administration of the QC program and of compliance with QC regulation.
3. Issue findings to SESA. If deficiencies are identified, notify SESA that a written corrective action plan will be required in the Program Budget Plan (PBP).

Note: Specific QC deficiencies detected by the Region at other times during the year should be corrected by the SESA. In such situations, these corrective actions will not be included in the PBP.

